

Due Date: November 21, 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: David E. Simmen      Examiner: Cindy Nguyen  
 Serial No.: 09/669,556      Group Art Unit: 2171  
 Filed: September 26, 2000      Docket: STL919990184  
 Title: QUERY OPTIMIZATION TECHNIQUE FOR OBTAINING IMPROVED CARDINALITY  
 ESTIMATES USING STATISTICS ON AUTOMATIC SUMMARY TABLES

**CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8**

I hereby certify that this correspondence is being filed via facsimile transmission to the U.S. Patent and Trademark Office on November 21, 2002.

By:   
 Name: George H. Gates

Commissioner for Patents  
 Washington, D.C. 20231

Dear Sir:

We are transmitting herewith the attached:

- Transmittal sheet, in duplicate, containing a Certificate of Mailing or Transmission under 37 CFR 1.8.
- Amendment Under 37 C.F.R. §1.111 including Appendix.

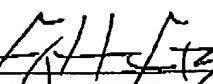
**CLAIMS PRESENT**

Claims Remaining:	Highest Number Previously Paid For:	Number Extra	Rate		Fee
<b>Total Claims</b>					
30	30	0	x \$18.00	=	\$0.00
<b>Independent Claims</b>					
3	3	0	x \$84.00	=	\$0.00
<b>MULTIPLE DEPENDENT CLAIM FEE</b>					\$0.00
<b>TOTAL FILING FEE</b>					\$0.00

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers, if appropriate.

Please charge all fees to Deposit Account No. 09-0460 of IBM Corporation, the assignee of the present application. A duplicate of this paper is enclosed.

**GATES & COOPER LLP**  
 Howard Hughes Center  
 6701 Center Drive West, Suite 1050  
 Los Angeles, CA 90045  
 (310) 641-8797

By:   
 Name: George H. Gates  
 Reg. No.: 33,500  
 GHG/sjm

**Gates & Cooper LLP**

Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, California 90045

Official  
11/21/02

**FAX TRANSMISSION TO USPTO**

TO: Commissioner for Patents  
Attn: Examiner Cindy Nguyen  
Patent Examining Corps  
Facsimile Center  
Washington, D.C. 20231

FROM: George H. Gates  
OUR REF.: STL919990184  
TELEPHONE: (310) 642-4146

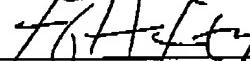
Total pages, including cover letter: **14**

**PTO FAX NUMBER: (703) 746-7239**

If you do NOT receive all of the pages, please telephone us at (310) 641-8797, or fax us at (310) 641-8798.

Title of Document Transmitted:	<b>AMENDMENT UNDER 37 C.F.R. 1.111 INCLUDING APPENDIX</b>
Applicant:	David E. Simmen
Serial No.:	09/669,556
Filed:	September 26, 2000
Group Art Unit:	2171
Our Ref. No.:	STL919990184

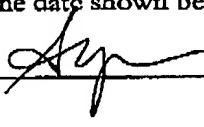
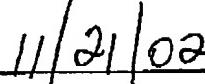
By:



Name: George H. Gates

Reg. No.: 33,500

I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark Office on the date shown below.

  
\_\_\_\_\_  
Signature  
\_\_\_\_\_  
Date

GHG/sjm

G&amp;C 30571.272-US-U1

#61A  
11-25-02*B.H.Hard*

Due Date: November 21, 2002

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: David E. Simmen      Examiner: Cindy Nguyen  
Serial No.: 09/669,556      Group Art Unit: 2171  
Filed: September 26, 2000      Docket: STL919990184  
Title: QUERY OPTIMIZATION TECHNIQUE FOR OBTAINING IMPROVED  
CARDINALITY ESTIMATES USING STATISTICS ON AUTOMATIC  
SUMMARY TABLES

## CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being filed via facsimile transmission to the U.S. Patent and Trademark Office on November 21, 2002.

By:   
Name: George H. Gates

AMENDMENT UNDER 37 C.F.R. §1.111

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In response to the Office Action dated August 21, 2002, please amend the above-identified application as follows. Please note that, in compliance with the rules under 37 C.F.R. § 1.121, the amended claims are presented in "clean" form with marked-up versions provided in the Appendix.

IN THE CLAIMS

Please cancel claims 2, 12 and 22, and amend claims 1, 3, 11, 13, 21 and 23 as follows: